

02-05-02 11/01/02

JC951 U.S. PTO  
02/01/02

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Attorney Docket P3130R1C8  
PATENT

JC928 U.S. PTO  
10/066211  
02/01/02

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February 1, 2001: Date of Deposit

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

BOX PATENT APPLICATION  
Assistant Commissioner of Patents  
Washington, D.C. 20231

**NON-PROVISIONAL APPLICATION TRANSMITTAL UNDER 37 CFR 1.53(b)**

Transmitted herewith for filing is a non-provisional patent application:

Inventor(s) (or Application "Identifier"):

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William I. Wood, Hillsborough, CA  
Zemin Zhang, Foster City, CA

Title: SECRETED AND TRANSMEMBRANE POLYPEPTIDES AND NUCLEIC ACIDS  
ENCODING THE SAME

**1. Type of Application**

- ☐ This application is for an original, non-provisional application.
- ☐ This is a non-provisional application claiming priority to provisional application no. \_\_, filed \_\_, the entire disclosure of which is hereby incorporated by reference.
- ☒ This is a continuation application claiming priority under 35 USC §120 to US serial number 10/002796 filed 11/15/01 which claims priority under 35 USC § 119 to US provisional application numbers: 60/056974 Filed 8/26/97; 60/059115 Filed 9/17/97; 60/059263 Filed 9/18/97; 60/059588 Filed 9/17/97; 60/062285 Filed 10/17/97; 60/062816 Filed 10/24/97; 60/063082 Filed 10/31/97; 60/063329 Filed 10/27/97; 60/063733 Filed 10/29/97; 60/066364 Filed 11/21/97; 60/066840 Filed 11/25/97; 60/069694 Filed 12/16/97; 60/074086 Filed 2/9/98; 60/074092 Filed 2/9/98; 60/079294 Filed 3/25/98; 60/081049 Filed 4/8/98; 60/095998 Filed 8/10/98; 60/097000 Filed 8/18/98; 60/099601 Filed 9/9/98; 60/099803 Filed 9/10/98; 60/099811 Filed 9/10/98; 60/099812 Filed 9/10/98; 60/100858 Filed 9/17/98; 60/101922 Filed 9/24/98; 60/106032 Filed 10/28/98; 60/109304 Filed 11/20/98; 60/125778 Filed 3/23/99; 60/139695 Filed 6/15/99; 60/145070 Filed 7/20/99; 60/145698 Filed 7/26/99; 60/149396 Filed 8/17/99; 60/169495 Filed 12/7/99; and which claims priority under 35 USC §120 to US serial numbers: 08/918874 Filed 8/26/97, now abandoned; 08/933821 Filed 9/19/97, now U.S. Patent No. 5,972,338 Issued 10/26/99; 08/960507 Filed 10/29/97, now U.S. Patent No. 6,057,435 Issued 5/2/00; 09/114844 Filed 7/14/98; 09/136801 Filed 8/19/98; 09/136804 Filed 8/19/98, now abandoned; 09/136828 Filed 8/19/98; 09/158342 Filed 9/21/98, now abandoned; 09/180997 Filed 9/10/98, now abandoned; 09/202088 Filed 12/8/98; 09/254311 Filed 3/3/99, now abandoned; 09/254460 Filed 3/9/99, now abandoned; 09/254465 Filed 3/5/99; 09/284663 Filed 4/15/99; 09/332928 Filed 6/14/99; 09/332929 Filed 6/14/99; 09/333075 Filed 6/14/99; 09/333077 Filed 6/14/99; 09/380137 Filed 8/25/99; 09/380138 Filed 8/25/99, now abandoned; 09/380139 Filed 8/25/99; 09/403296 Filed 10/18/99, now abandoned; 09/403297 Filed 10/18/99, now abandoned; 09/423741 Filed 11/10/99, now abandoned; 09/423844 Filed 11/12/99, now abandoned; 09/522342 Filed 3/9/00; 09/548815 Filed 4/13/00; 09/664610 Filed 9/18/00, now abandoned; 09/665350 Filed 9/18/00; 09/709238 Filed 11/8/00; 09/767609 Filed 1/22/01; 09/802706 Filed 3/9/01; 09/808689 Filed 3/14/01, now abandoned; 09/866028 Filed 5/25/01; 09/870574 Filed 5/30/01; 09/872035 Filed 6/1/01; 09/886342 Filed 6/19/01; PCT/US98/14552 Filed 7/14/98; PCT/US98/18824 Filed 9/10/98, now abandoned; and which claims priority under 35 USC §120 to PCT international application numbers: PCT/US98/19093 Filed 9/14/98; PCT/US98/19330 Filed 9/16/98; PCT/US98/19437 Filed 9/17/98, now abandoned; PCT/US98/24855 Filed 11/20/98; PCT/US98/25108 Filed 12/1/98; PCT/US98/25190 Filed 11/25/98; PCT/US99/05028 Filed 3/8/99; PCT/US99/12252

Filed 6/2/99; PCT/US99/20111 Filed 9/1/99; PCT/US99/20594 Filed 9/8/99;  
PCT/US99/21090 Filed 9/15/99; PCT/US99/21547 Filed 9/15/99; PCT/US99/28301  
Filed 12/1/99; PCT/US99/28313 Filed 11/30/99; PCT/US99/28565 Filed 12/2/99;  
PCT/US99/30999 Filed 12/20/99; PCT/US00/00219 Filed 1/5/00; PCT/US00/04341  
Filed 2/18/00; PCT/US00/04342 Filed 2/18/00; PCT/US00/04414 Filed 2/22/00;  
PCT/US00/05601 Filed 3/1/00; PCT/US00/05841 Filed 3/2/00; PCT/US00/06471  
Filed 3/9/00; PCT/US00/07377 Filed 3/20/00; PCT/US00/08439 Filed 3/30/00;  
PCT/US00/13358 Filed 5/15/00; PCT/US00/13705 Filed 5/17/00; PCT/US00/14042  
Filed 5/22/00; PCT/US00/14941 Filed 5/30/00; PCT/US00/15264 Filed 6/2/00;  
PCT/US00/22031 Filed 8/11/00; PCT/US00/23328 Filed 8/24/00; PCT/US00/23522  
Filed 8/23/00; PCT/US00/32678 Filed 12/1/00; PCT/US01/06520 Filed 2/28/01;  
PCT/US01/17443 Filed 5/30/01; PCT/US01/17800 Filed 6/1/01; PCT/US01/19692  
Filed 6/20/01; PCT/US01/21066 Filed 6/29/01; PCT/US01/21735 Filed 7/9/01, the  
entire disclosures of which are hereby incorporated by reference.--

2. **Papers Enclosed Which Are Required For Filing Date Under 37 CFR 1.53(b)  
(Non-provisional )**

159 pages of specification  
8 pages of claims  
1 page(s) of abstract  
75 sheet(s) of drawings  
[X] formal ☐ informal

3. **Declaration or Oath**

*(for new and CIP applications; also for Cont./Div. where inventor(s) are being added)*  
\_\_\_ An executed declaration of the inventor(s) ☐ is enclosed ☐ will follow.

*(for Cont./Div. where inventorship is the same or inventor(s) being deleted)*  
X A copy of the executed declaration/oath filed in the prior application is enclosed  
(37 CFR 1.63(d)).

*(for Cont./Div. where inventor(s) being deleted)*  
\_\_\_ A signed statement is attached deleting inventor(s) named in the prior  
application (see 37 CFR 1.63(d)(2) and 1.33(b)).

4. **Assignment**

*(for new and CIP applications)*  
\_\_\_ An Assignment of the invention to GENENTECH, INC. ☐ is enclosed with  
attached Recordation Form Cover Sheet ☐ will follow.

*(for cont./div.)*  
X The prior application is assigned of record to Genentech, Inc.

5. **Amendments (for continuation and divisional applications)**

\_\_\_\_\_ Cancel in this application original claims \_\_\_ of the prior application before calculating the filing fee. (At least one original independent claim must be retained for filing purposes.)

X  A preliminary amendment is enclosed. (Claims added by this amendment have been properly numbered consecutively beginning with the number next following the highest numbered original claim in the prior application.)

6. **Fee Calculation (37 CFR 1.16)**

The fee has been calculated as follows:

CLAIMS FOR FEE CALCULATION					
Number Filed		Number Extra		Rate	Basic Fee 37 CFR 1.16(a)
					\$710.00
Total Claims	20	- 20 =	0	X \$18.00	\$0.00
Independent Claims	3	- 3 =	0	X \$80.00	\$0.00
_____ Multiple dependent claim(s), if any				+ \$270.00	\$0.00
<b>Filing Fee Calculation</b>					<b>\$710.00</b>

7. **Method of Payment of Fees**

The Commissioner is hereby authorized to charge Deposit Account No. 07-0630 in the amount of \$710.00. **A duplicate copy of this transmittal is enclosed.**

8. **Authorization to Charge Additional Fees**

The Commissioner is hereby authorized to charge any additional fees required under 37 CFR §1.16 and 1.17, or credit overpayment to Deposit Account No. 07-0630. **A duplicate copy of this sheet is enclosed.**

9. **Additional Papers Enclosed**

☐ Information Disclosure Statement (37 CFR §1.98) w/ PTO-1449 and citations

☒ Submission of electronic and paper copy of Sequence Listing. I hereby state that the Sequence Listing submitted herewith is submitted in paper copy and a computer-readable diskette, and that the information recorded in computer readable form is identical to the written sequence listing. I further state that this submission includes no new matter.

☒ Other: Post card.

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— Multiple dependent claim(s), if any				+ \$270.00	\$0.00
Filing Fee Calculation					\$710.00

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☒ Other: Post card.

10. **Maintenance of Copendency of Prior Application (for continuation and divisional applications)**  
*[This item **must** be completed and the necessary papers filed in the prior application if the period set in the prior application has run]*

\_\_\_\_\_ A petition, fee and/or response has been filed to extend the term in  
the pending prior application until  
\_\_\_\_\_ A copy of the petition for extension of time in the **prior** application  
is attached.

11. **Correspondence Address:**

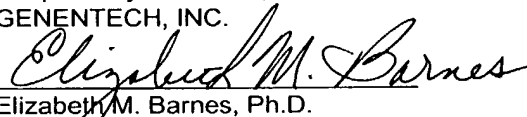
X Address all future communications to:

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Respectfully submitted,  
GENENTECH, INC.

Date: February 1, 2001

By:

  
Elizabeth M. Barnes, Ph.D.  
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PATENT TRADEMARK OFFICE